Policy on the Responsible Conduct of Research at SHSU

As members of the Sam Houston State University (SHSU) community, all faculty, students and staff have a responsibility to foster and sustain the highest ethical standards in the pursuit of research and scholarly activities. All extramural research sponsors, particularly the National Institutes of Health (NIH) and the National Science Foundation (NSF) Offices of the Inspector General, assign primary responsibility to universities for detecting and preventing research misconduct, and for establishing a culture that emphasizes responsible conduct of research. Federal concern for ethical standards in research has increased dramatically in recent years and has led the Federal Government's Office of Research Integrity to conduct more investigations when research misconduct is discovered or reported. The Office of Research Integrity defines **research misconduct** as "Fabrication, falsification, or plagiarism in proposing, performing, or reviewing research or in reporting research results."

Source: Office of Research Integrity website: http://ori.hhs.gov/policies/fed_research_misconduct.shtml

A determination of research misconduct can result in severe penalties to researchers and can negatively impact their institution. Increasing research funding at SHSU requires that the University maintain the highest ethical standards. The mere insinuation of impropriety can have severe negative effects.

Collaborative Institutional Training Initiative (CITI)

In order to address and minimize the potential for misconduct in research, as well as meet Federal compliance standards for training, SHSU has established a training program through the Collaborative Institutional Training Initiative (CITI). ***Completion of this program is mandatory for all faculty and students involved in NSF and NIH funded research***.

This educational program is a web-based, self-paced ethics training curriculum. It consists of individual course modules followed by short multiple-choice quizzes. Modules do not have to be completed at one time. Applicants register themselves, can access their records at any time, request new passwords, and print out their own completion report (certificates).*Because of its simplicity and wealth of ethics information, all researchers are highly encouraged to complete this training. Furthermore, they may want to require all students they oversee, that are involved in research activities, to obtain certification.* CITI courses offered through SHSU should take approximately three to four hours to complete.

The CITI course, *Responsible Conduct of Research (RCR)* is a comprehensive online training tool that consists of six RCR modules:

(1) Introduction to the RCR;
(2) Research Misconduct;
(3) Data Acquisition, Management Sharing & Ownership;
(4) Mentor & Trainee Responsibilities

(5) Conflicts of Interest & Commitment, and
(6) Collaborative Research

At SHSU, there are two additional CITI courses offered to faculty, staff, & students: the first course addresses Human Subjects, and the second course addresses Animal Welfare.

Instructions and registration

Training is available through SHSU's CITI membership. Access training by reviewing the **SHSU Instructions Page** [insert **http://www.shsu.edu/~rgs_www/documents/SHSUCITIInstructions12.15.10.pdf**], then click on the following link to enter the CITI site: **https://www.citiprogram.org/**.

Researchers Required to Take the CITI Training

1) All faculty/staff/students conducting research with Human Subjects or Animal Subjects,
2) All faculty members who are supervising students conducting the previously mentioned types of research, and
3) All faculty/staff/students who have received NIH and NSF awards

No exemptions are authorized unless specifically approved in writing by the SHSU Research Compliance Coordinator, Office of Research and Sponsored Programs.

Training Deadline

Applicants submitting an IRB or an IACUC application must complete the CITI training course before their application will be processed. The IRB or the IACUC application can be started prior to course completion, but the training must be completed by the time the application reaches the ORSP.

The ORSP can access information about applicants' course progress, but does not have access to CITI passwords and usernames. Applicants must retrieve that information themselves directly from the CITI website. Applicants needing a copy of their completion report should download it directly from the CITI website.

Frequency of Training Requirement

It is not necessary for applicants to repeat the CITI course every time a proposal is submitted. Applicants' completion report will remain on file in the ORSP. The CITI certification for applicants will be valid for five years from date of course completion. Applicants must ensure that each of the appropriate CITI modules have been successfully completed within the allotted time period.

Verification of Course Completion

It is not necessary for applicants to notify the ORSP that they have complete the training—the CITI system notifies the Research Compliance Coordinator and the applicant simultaneously within 24 hours of course completion.

Responsibilities of the PI

1. To ensure that all investigators (faculty/staff/students) successfully complete the appropriate CITI training course.
2. Report any unnamed or TBD individuals to appropriate personnel in the Office of Research Administration (ORA)
3. Report any changes, such as additions or deletions to proposal the ORA.
4. Requesting and documenting all approved exemptions to the ORA

Consequences for not Completing the RCR Training

For Classroom/Thesis/Regular IRB applicants and for IACUC applicants not applying for federal funding, applications will be held at the ORSP until the CITI completion reports are received.

For faculty/staff/students who have received federal funding, no federal funds will be distributed, until the CITI training requirements are met.

Other actions as deemed appropriate by the Associate Vice President of ORSP may be taken.

Contact Information

Maintenance of RCR records, approval of exemptions from training requirements and coordination of other research compliance issues are responsibilities of the SHSU Research Compliance Coordinator in the Office of Research and Sponsored Programs.

ORSP Policy 11/15/2011